

# MONTH END ACTIVITY REPORT

## Bureau of Securities March 2011

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	161	449	610
Oversales	2	2	4
Renewal Filings	616	1,119	1735
New Notice Filings	204	211	415
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT			0
Debt			0
Qualification			0
Other	1		1
Denials			0
Sales of Unregistered Securities			0
Withdrawals	1		1

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	13	0	13
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	2	0	2
Gain/Loss Broker-Dealers	11	0	11
Total BD's Registered as of <b>March 31, 2011</b>	1375	29	1404
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	2388	0	2388
Denied	0	0	0
Terminations	1005	4	1009
Gain/Loss Agents	1383	-4	1379
Total BD Agents Registered as of <b>March 31, 2011</b>	80847	51	80898

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	0	29	29
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	5	6
Denied	0	0	0
Gain/Loss effective registrations	-1	24	23
Total IA's Registered as of <b>March 31, 2011</b>	66	1069	1135
Investment Adviser Representatives			
Activity	State	Federal	Total
New	2	51	53
Denied	0	0	0
Terminated	2	39	41
Gain/Loss effective registrations	0	12	12
Total IAR's Registered as of <b>March 31, 2011</b>	120	3199	3319

Exemptions			
Exemption Type	Number		
8-1108.02(2)	35		
8-1108.02(3)	0		
8-1111(16)	1		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	13		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of <b>March 31, 2011</b>	49		